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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/789,125	02/20/2001	Steven K. Case	A48.12-0003	6072

7590 03/20/2002

JK
WESTMAN, CHAMPLIN & KELLY
A PROFESSIONAL ASSOCIATION
INTERNATIONAL CENTRE, SUITE 1600
900 SECOND AVENUE SOUTH
MINNEAPOLIS, MN 55402-3319

EXAMINER

PATEL, TULSIDAS C

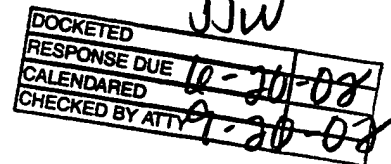
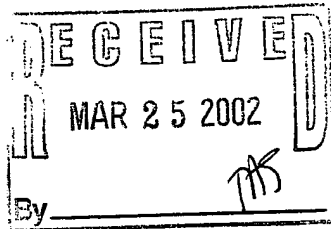
ART UNIT

PAPER NUMBER

2839

DATE MAILED: 03/20/2002

Please find below and/or attached an Office communication concerning this application or proceeding.



Office Action Summary

Application No.

09/789,125

Applicant(s)

CASE ET AL.

Examiner

T. C. Patel

Art Unit

2839

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-65 is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1-20, 24-54 and 56-65 is/are rejected.
- 7) ☒ Claim(s) 21-23 and 55 is/are objected to.
- 8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on ____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 5, 6.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). ____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

DETAILED ACTION

General Status

1. This is a First Action on the Merits. Claims 1-65, are pending in the case.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. § 102 that form the basis for the rejections under this section made in this Office action:

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) do not apply to the examination of this application as the application being examined was not (1) filed on or after November 29, 2000, or (2) voluntarily published under 35 U.S.C. 122(b). Therefore, this application is examined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

3. Claims 1-20, 24-54 and 56-65, are rejected under 35 U.S.C. § 102(e) as being anticipated by Lee et al. (US 6,118,917).

Lee et al. in figures 1-4, discloses an optical module for use in an optical device, comprising an optical component 310, a relative reference mount 100 for mounting to a substrate 200, an optical component mount 300, 400 are also disclosed. The mounting features on the substrate are 210, 220 and the mating features are 120 and 320 on items 100, 300 and 400. Bonding by using an adhesive or metal solder is disclosed in column 4, lines 64-67 and

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column 5, lines 1-2. The solder and adhesive are heat activated and have non-bonding state and bonded state. For claims 5, 6, 34, 47 and 59, the two plates on the optical component mount are disclosed in figure 1 and the optical fiber changes the signal at least in one direction. For claims 20, 41 and 64, during the melting of solder, thermal coupling of solder with heating element will be inherently required.

Allowable Subject Matter

4. Claims 21-23 and 55 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to T. C. Patel whose telephone number is (703) 308-1736. The examiner can normally be reached on 6:30-4:00.

703/305+1341

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Brian Sircus can be reached on (703) 308-3119. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 308-7722 for regular communications and (703) 308-7722 for After Final communications.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1736.



T. C. Patel
Primary Examiner
Art Unit 2839

tcp
March 18, 2002

FORM PTO-1449		RECEIVED		Atty. Docket No.: A48.12-0003	Appl. No.: 09/789,125
<p style="text-align: center;">LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p> <p style="text-align: center;">AUG 13 2001 TECHNOLOGY CENTER 2800</p> <p style="text-align: center;">#5</p>				First Named Inventor:	
				Steven K. Case	
				Filing Date February 20, 2001	Group Art: 2839-2874

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TECH	AA	4,457,467	7/3/84	Klement et al.	228	103
	AB	4,708,429	11/24/87	Clark et al.	350	96.20
	AC	4,798,439	1/17/89	Preston	350	96.20
	AD	4,892,377	1/9/90	Randle	350	96.2
	AE	5,113,404	5/12/92	Gaebe et al.	372	36
	AF	5,210,811	5/11/93	Avelange et al.	385	91
	AG	5,247,597	9/21/93	Blacha et al.	385	88
	AH	5,249,733	10/5/93	Brady et al.	228	180.22
	AI	5,283,446	2/1/94	Tanisawa	257	433
	AJ	5,478,778	12/26/95	Tanisawa	437	183
	AK	5,499,312	3/12/96	Hahn et al.	385	91
	AL	5,550,088	8/27/96	Dautartas et al.	437	225
	AL	5,568,892	10/29/96	Basavanhally	228	180.22
	AM	5,574,561	11/12/96	Boudreau et al.	356	399
	AN	5,603,870	2/18/97	Roll et al.	264	1.25
	AO	5,659,641	8/19/97	DeMeritt et al.	385	14
47	AP	5,700,987	12/23/97	Basavanhally	219	56.1


FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
AQ						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	
EXAMINER: T. C. Patel	DATE CONSIDERED: 3-18-02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449	RECEIVED	Atty. Docket No.: A48.12-0003	Appl. No.: 09/789,125
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT AUG 13 2001 TECHNOLOGY CENTER 2800 45		First Named Inventor:	
		Steven K. Case	
		Filing Date	Group Art:
		February 20, 2001	2839 2874

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
tdm	AS 5,745,624	4/28/98	Chan et al.	385	91	
	AT 5,748,827	5/5/98	Holl et al.	385	134	
	AU 5,833,202	11/10/98	Wolfgang	248	466	
	AV 5,854,867	12/29/98	Lee et al.	385	49	
	AW 5,892,179	4/6/99	Rinne et al.	174	261	
	AX 5,985,086	11/16/99	Peall	156	292	
	AY 6,027,253	2/22/00	Ota et al.	385	83	
	AZ 6,106,161	8/22/00	Basavanhally et al.	385	88	
	BA 6,155,515	9/5/00	Itoh et al.	285	14	
	BB 6,118,917	9/12/00	Lee et al.	385	49	
	BC 6,132,106	10/17/00	Yokoyama	385	74	
	BD 6,151,173	11/21/00	Massit et al.	359	811	
	BE 6,160,936	12/12/00	You et al.	385	49	
	BF 6,164,837	12/26/00	Haake et al.	385	90	
	BG					

FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Sub Class	Translation Yes No
tdm	BH	0.977 061 A2	2/2/00	EPO			X
	BI	63-193113	8/10/88	Japan			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

tdm	BJ	"Micro-Mechanical Alignment Structures (patent pending)", from Web Site of Axsun Technologies, 2 pages, downloaded 2/15/01.					
	BK	"An Innovative Flexible and Accurate Packaging Technique Suited to Fabricate Low Cost Micro Optoelectronic Modules", by M. Scussat et al., <u>Electronic Components and Technology Conference</u> , 2000, pgs. 26-32.					

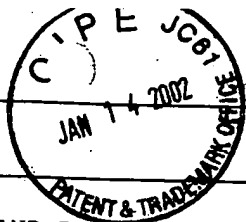
EXAMINER:

T. C. Patel

DATE CONSIDERED:

3/18/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Atty. Docket No.:
A48.12-0003

Appl. No.:
09/789,125

First Named Inventor:

Steven K. Case et al.

Filing Date

Group Art:

February 20, 2001

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U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TLA	AA 4,250,520	2/10/81	Denlinger	357	68	
	AB 4,720,163	1/19/88	Goodwin et al.	350	96.20	
	AC 4,750,799	6/14/88	Kawachi et al.	350	96.11	
	AD 4,752,816	6/21/88	Sussman et al.	357	30	
	AE 4,954,458	9/4/90	Reid	437	51	
	AF 4,989,934	2/5/91	Zavracky et al.	350	96.11	
	AG 5,123,074	6/16/92	Yokota et al.	385	95	
	AH 5,177,807	1/5/93	Avelange et al.	385	91	
	AI 5,216,729	6/1/93	Berger et al.	385	31	
	AJ 5,450,508	9/12/95	Decusatis et al.	385	25	
	AK 5,535,296	7/9/96	Uchida	385	89	
	AL 5,555,333	9/10/96	Kato	385	89	
	AM 5,559,914	9/24/96	Asakura	385	49	
	AN 5,570,184	10/29/96	Armington et al.	356	375	
	AO 5,647,044	7/8/97	Basavanhally et al.	385	92	
	AP 5,687,267	11/11/97	Uchida	385	89	
7	AQ 5,721,797	2/24/98	Basavanhally et al.	385	49	

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AS	
EXAMINER:	T. C. Pord
	DATE CONSIDERED: 3-18-02

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FORM PTO-1449

Atty. Docket No.:
A48.12-0003Appl. No.:
09/789,125LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

First Named Inventor:

Steven K. Case et al.

Filing Date

Group Art:

February 20, 2001

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U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
rn	AT 5,748,822	5/5/98	Miura et al.	385	90	
	AU 5,778,120	7/7/98	Asakura et al.	385	49	
	AV 5,859,943	1/12/99	Asakura et al.	385	49	
	AW 5,883,988	3/16/99	Yamamoto et al.	385	14	
	AX 5,898,806	4/27/99	Nishimoto	385	49	
	AY 5,907,649	5/25/99	Acklin et al.	385	49	
	AZ 5,916,458	6/29/99	Komoriya et al.	219	121.63	
	BA 5,966,486	10/12/99	Boudreau et al.	385	90	
	BB 5,970,200	10/19/99	Takikawa et al.	385	137	
	BC 5,985,086	11/16/99	Peall	156	292	
	BD 6,027,254	2/22/00	Yamada et al.	385	88	
	BE 6,058,234	5/2/00	Tachigori	385	49	
	BF 6,112,001	8/29/00	Kishida et al.	385	49	
	BG 6,115,515	9/5/00	Itoh et al.	385	14	
	BH 6,130,448	10/10/00	Bauer et al.	257	222	
	BI 6,157,050	12/5/00	Fukuoka	257	82	
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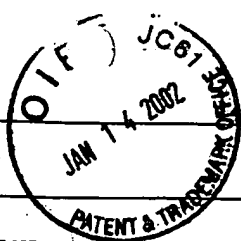
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rk	BK 0 840 154 A1	5/6/98	EPO	—	—	X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER: T. C. Patel	DATE CONSIDERED: 3/19/02

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Atty. Docket No.:
A48.12-0003Appl. No.:
09/789,125LIST OF PATENTS AND PUBLICATIONS FOR
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First Named Inventor:

Steven K. Case et al.

Filing Date

Group Art:

February 20, 2001

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U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Sub Class	Translation Yes No
reduan	BO	2 779 536	12/10/99	France	—	—	X
	BP	54-12286	1/29/79	Japan	—	—	X
	BQ	61-277908	12/8/96	Japan	—	—	(Abstract)
	BR	62-276890	12/1/87	Japan	—	—	(Abstract)
	BS	63-12187	1/19/88	Japan	—	—	(Abstract)
	BT	63-65411	3/24/88	Japan	—	—	(Abstract)
	BU	63-193113	8/10/88	Japan	—	—	(Abstract)
	BV	63-228113	9/22/88	Japan	—	—	(Abstract)
	BW	1-302214	12/6/89	Japan	—	—	(Abstract)
	BX	6-34852	2/10/94	Japan	—	—	(Abstract)
	BY	6-174943	6/24/94	Japan	—	—	(Abstract)
	BZ	6-201921	7/22/94	Japan	—	—	(Abstract)
	CA	6-331840	12/2/94	Japan	—	—	(Abstract)
✓	CB	7-333472	12/22/95	Japan	—	—	(Abstract)

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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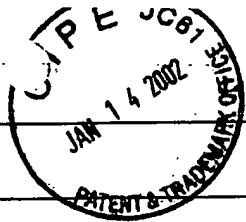
EXAMINER:

T. C. Case

DATE CONSIDERED:

3/18/02

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Atty. Docket No.:
A48.12-0003Appl. No.:
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LIST OF PATENTS AND PUBLICATIONS FOR
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DISCLOSURE STATEMENT

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First Named Inventor:

Steven K. Case et al.

Filing Date

Group Art:

February 20, 2001

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U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
	CD					
	CE					
	CF					
	CG					
	CH					
	CI					

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
telan	CJ 196 44 758 A1	4/30/98	Germany	—	—	X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

telan	CK	Article from Web Site entitled "The Photonics Program and the Engineering Research Division at LLNL are Automating the Packaging of Optoelectronic Devices to Lower Costs", 3 pages, downloaded 10/19/00.				
1	CL	Article from Web Site entitled "Automated Optoelectronic Packaging", 2 pages, downloaded 2/5/01.				
7	CM	Article from Web Site entitled "Micro Assembly Automation", 3 pages., downloaded 2/5/01.				
	CN					

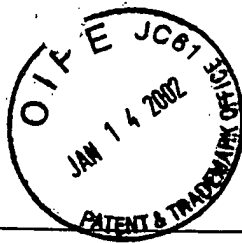
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T. C. Patel

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3/18/02

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Sheet 5 of 5

FORM PTO-1449	Atty. Docket No.: A48.12-0003	Appl. No.: 09/789,125
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT #56	First Named Inventor:	
	Steven K. Case et al.	
	Filing Date February 20, 2001	Group Art: 2539 2874

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
tdca	CO	4,730,198	3/8/88	Brown et al.	350	96.20
	CP	4,790,618	12/13/88	Abe	350	96.15
	CQ	4,817,849	4/4/89	Yamamoto et al.	228	103
	CR	4,845,052	7/4/89	Abend	437	209
	CS	4,909,590	3/20/90	Kamiko et al.	350	96.22
	CT	5,093,879	3/3/92	Bregman et al.	385	93
	CU	5,170,455	12/8/92	Gooseen et al.	385	89
	CV	5,215,489	6/1/93	Nakamura	445	4
	CW	5,322,463	6/21/94	Young	445	4
	CX	5,371,822	12/6/94	Horwitz et al.	385	89
	CY	5,625,733	4/29/97	Frigo et al.	385	88
	CZ	5,659,641	8/19/97	DeMeritt et al.	385	14
	DA	5,737,467	4/7/98	Kato et al.	385	92
	DB	5,916,458	6/29/99	Komoriya et al.	219	121.63
	DC	6,010,251	1/4/00	Koyanagi et al.	385	93
	DD					

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DF	
EXAMINER: T. C. Patel	DATE CONSIDERED: 3/18/02

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